

BROCHURE

ISO 37301:2021 COMPLIANCE MANAGEMENT SYSTEMS (CMS) CERTIFICATION & TRAINING

Comply with confidence - protect your people
and your business by making sound decisions!



IS YOUR COMPANY IN LINE WITH INTERNATIONAL REGULATIONS*?

SO MANY LAWS AND REGULATIONS.
SO FEW RESOURCES AVAILABLE TO ENSURE COMPLIANCE.

In an effort to stifle the spread of financial crimes, specifically Money-Laundering and Corruption at the global level, the world's governing bodies have woven together with a complex and ever-expanding web of laws, regulations and standards. And these significantly impact how multi-national organisations conduct business.

If your business isn't meeting the myriad obligations established by government bodies worldwide, the risk exposure can grow exponentially as each day passes.

Good corporate governance begins at the top, with a strong leadership desire to demonstrate that your organisation is taking every available step to prevent bribery and corruption. The challenge comes in interpreting and complying with the many various laws, standards, codes and rules which companies face at a local, regional, and national level. Because of these challenges, you must develop a robust internal

system to safeguard your organisation from the internal and external risks associated with bribery and corruption. The guidelines outlined in the internationally accepted ISO 37301:2021 Compliance Management Systems (CMS) represent the first step in developing a framework that protects the organisation from falling victim to the many risks associated with corporate bribery and/or corruption.

LET'S TALK!

*The U.S. Foreign Corrupt Practices Act (FCPA) | The Good Practice Guidance on Internal Controls, Ethics and Compliance (OECD) | The Anti-Corruption Ethics and Compliance Handbook for Business (OECD) | The UK Bribery Act 2010 - the British Ministry of Justice's Adequate Procedures document

NAVIGATING A SEA OF INTERNATIONAL COMPLIANCE STANDARDS TO BUILD A FRAMEWORK FOR AN EFFECTIVE STRATEGIC COMPLIANCE PROGRAM WITH ISO!

ISO 37301 is a widely-accepted standard that provides guidance for establishing, developing, implementing, evaluating, maintaining and improving an organisation's compliance management program. It covers all compliance-related issues, including anti-trust, fraud, misconduct, export control, anti-money laundering, and other unexpected risks which might affect your business.

Previously named ISO 19600, the standard was introduced by the International Organization for Standardisation (ISO) in April 2014, and replaced by ISO/DIS 37301 in 2021. ISO 37301 will establish requirements for implementing a compliance management system, as opposed to ISO 19600 CMS, which only provides recommendations.

Who can apply for an ISO 37301 compliance management system certification?

- Private organisations: the company at large, a business unit or a subsidiary
- Public organisations: administrations, services, political parties
- Not-for-profit organisations: NGOs, charities, foundations, associations

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→ *Find out more on good governance and ethical practices with our team with ["Compliance impact, challenges & future"](#)*

ISO 19600 WAS REPLACED – MEET ISO 37301

**WHEREAS ISO 19600 WAS A GUIDELINE,
ISO 37301 IS A CERTIFICATION STANDARD.**

ISO 37301 is a so-called Type A standard and - unlike its predecessor ISO 19600 - is certifiable. That being said, 90% of the new standard is based on ISO 19600:2014. Companies who have previously aligned themselves to this one will not need to make radical changes. And organisations can have their compliance management system verified through an independent third party in the future.

If your organisation performs regular risk assessments, you have probably noticed that corporate compliance consistently ranks as one of the most significant risks. The implementation and certification of a robust compliance program can help you maintain integrity and ensure compliance with all applicable rules and regulations in a systematic, structured and proactive manner.

CMS helps organisations to comply with the legislation that is applicable to them and with the commitments assumed with their stakeholders. They reduce the economic or reputational risks of failing to comply with them and are a fundamental tool for organisations to comply with their corporate social responsibility policies. They undoubtedly help to create a culture of integrity and compliance that fosters sustained success and the survival of the organisation.

Do you seek to benchmark your existing system against international best practices?

Certification of your compliance management system by an independent third-party such as ABAC® not only provides assurance to your stakeholders, it also enables organisations to detect opportunities and to further increase the effectiveness of their CMS.

WHY CHOOSE ISO 37301:2021 CERTIFICATION AND TRAINING?

Certification against ISO 37301 demonstrates your organisation's commitment towards an effective compliance management system and any of its applicable subsections like:

- General compliance
- Anti-bribery
- Sanctions
- AML
- Export control
- Data privacy.

The inclusion of these subsections demonstrates its wide-ranging applications and its potential to revolutionise your overall compliance efforts. However, as with all of ISO's standards, the requirements are broad enough to allow you to build a system that best suits the needs of your organisation, deciding upon the scope, location, number of people we interview, depth of the audits within the organisation, and which subsections to include.

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GAIN COMPETITIVE ADVANTAGE WITH OUR ABAC® PROGRAM!

ABAC® is designed to help develop processes and systems that help your organisation effectively manage compliance risks and foster a system-wide business integrity culture. At the surface, organisations that implement ISO 37301 demonstrate a commitment to company-wide good governance and ethical practices, two core principles that contribute to any business's overall economic success. But the benefits of implementation go much deeper and include:

- 1** Safeguard your organisation's reputation
- 2** Verify your current compliance management system
- 3** Correct potential breaches in a swift & effective manner
- 4** Become attuned to new & exiting laws, rules & regulations globally
- 5** Prove your organisation's integrity levels & business values
- 6** Be alerted when the risk of breaching any regulation exists
- 7** Strengthen your organisation's position in international business deals
- 8** Reduce the risk of prosecution - courts in multiple jurisdictions can consider an organisation's overall commitment to compliance when determining penalties in corruption-related legal cases

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ISO 37001, AN INVALUABLE COMPLEMENT TO ISO 37301

The new standard will complement the existing *ISO 37001, Anti-bribery management systems – Requirements* with guidance for use, which helps organisations combat bribery both in their own operations and throughout their value chains.

This globally recognised standard certifies that an organisation has implemented reasonable and proportionate measures to prevent bribery and corruption. ABMS establishes requirements for areas such as top-level leadership, training, bribery risk assessment, due diligence adequacy, financial and commercial controls, reporting, audit and investigation.

Compliance to both standards presents a unique opportunity for the organisation to firmly state that both anti-bribery and compliance systems are in line with the highest level of international standards. ISO 37001 ABMS is structured to be easily integrated into an existing

compliance management system following ISO 19600. Both standards focus on establishing best-practice procedures, controls and measures to identify, detect, prevent and monitor system-wide corruption while demonstrating a strong commitment to compliance. Your business will benefit specially if you are seeking a competitive advantage whilst expanding operations across the globe, attract potential investors, report to current stakeholders and build viable partnerships in the global marketplace.

Furthermore, such integration addresses the marketplace expectations that your organisation has a firm control over the operations of outside suppliers, agents, distributors and other third-party affiliations.



ISO ISO 37301 & ISO 37001 CERTIFICATION & TRAINING

Our fully equipped auditors and analysts work with your team in benchmarking the compliance and anti-bribery management systems in accordance with all international standards.

Both certifications help the organisation and its top management, compliance officers, risk managers, internal and external auditors, and all related personnel to work together towards implementing adequate measures to prevent non-compliant behaviour on several key fronts, including:

- Comprehending the scope and context of the compliance management system
- Equipping the organisation's leadership via management-led controls
- Educating personnel on the importance of compliance
- Furthering compliance as a risk mitigation tool
- Establishing firm compliance objectives
- Building training programs that foster a strong corporate culture of compliance
- Developing effective communications and supporting documentation
- Monitoring the effectiveness of the compliance framework
- Identifying the necessary actions to ensure continuous improvement of the program

[MORE ON ISO 37001](#)

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PLAYBOOK

ISO 31000 RISK MANAGEMENT

A guide to identify, analyse and mitigate risk

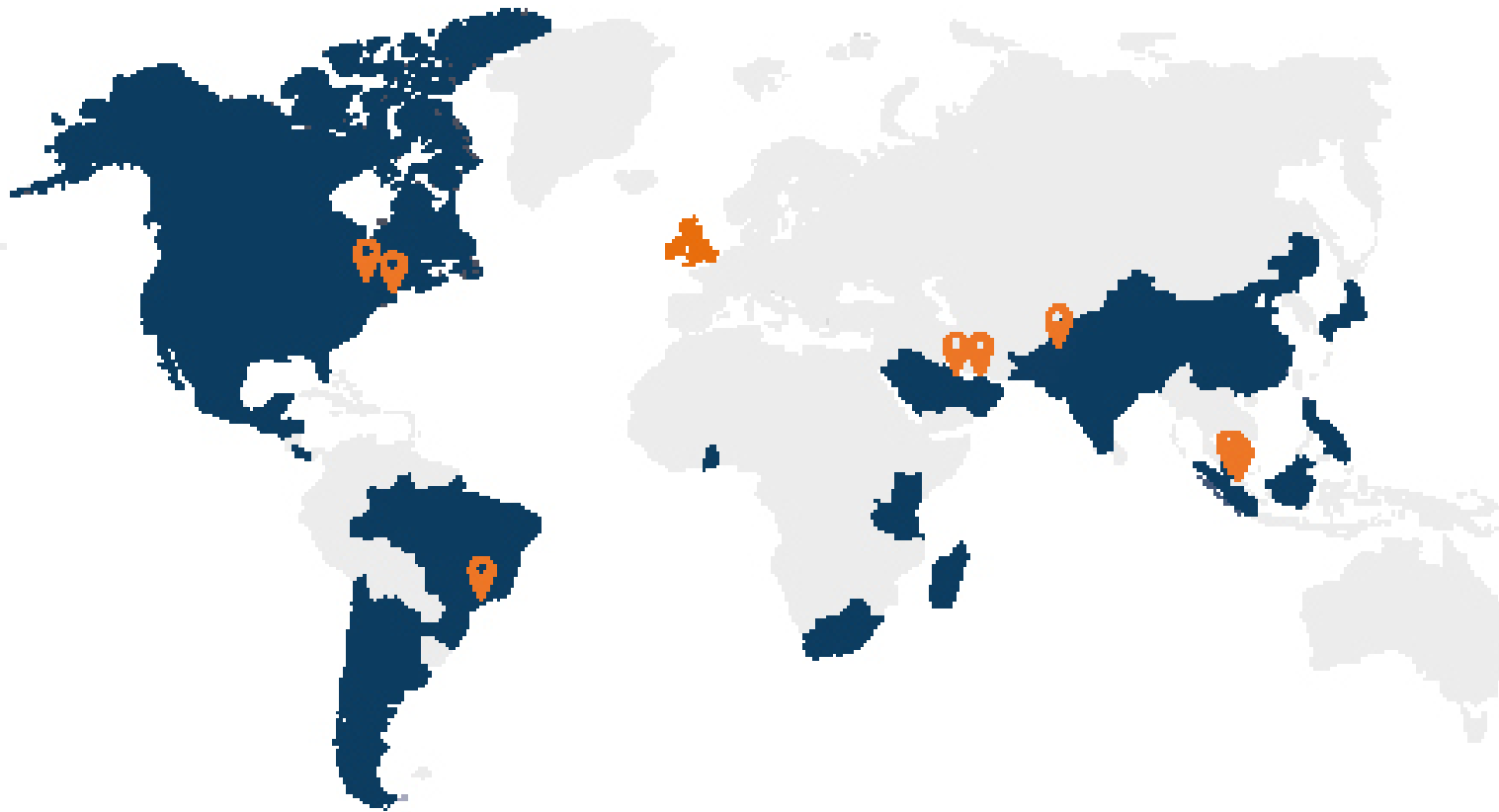
Risk management is a full-time, ongoing endeavour for organisations in today's business world, and it poses constant challenges. The first part of reducing risk is having a strategy, and taking action. We developed this Playbook to help you do exactly that.

HELPING YOU MAKE INFORMED, SOUND DECISIONS

Risk management is a full-time, ongoing endeavor for organisations in today's business world, and it poses constant challenges. Unfortunately, fraud, bribery and corruption are major factors affecting businesses and agencies of all sizes and industries. Being proactive against these risks can mean the difference between success and ruin.

The *Risk Management and ABMS Playbook* provides tools, checklists, case studies, FAQs and other resources to help you lead your organisation into better preparedness and compliance. Our experts share their own plays to help you reduce risk, thereby preventing and detecting more fraud. The first section address risk management directly: proper third-party due diligence and critical background screening take center stage for this game plan. Section two tackles bribery and corruption, with tried-and-true measures you can implement to stay better protected and in compliance with strict laws and regulations.

[DOWNLOAD EBOOK NOW](#)



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Huma, as Scheme Manager, is responsible for leading ABAC® and specifically, how ABAC® delivers on its commitment to counter bribery and corruption. Huma's responsibilities include planning and overseeing all aspects of the ABAC® program, which include Certification and Training. Additionally, Huma is overseeing the Compliance Department for the implementation, management and internal audit of CRI Group's and ABAC® compliance programs. These programs are consistent with regulatory requirements and executive management's commitment to maintaining an ethical culture and a high standard of compliance.

Zafar I. Anjum, Group Chief Executive Officer

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Zafar, Group CEO at CRI Group and ABAC® has been building a 30 years' career in the areas of anti-corruption, fraud prevention, protective integrity, security, and compliance. Possessing both industry expertise and an extensive educational background (MS, MSc, CFE, CII, CIS, MICA, Int. Dip. (Fin. Crime), CII, MIPI, MABI), Zafar Anjum is often the first certified global investigator on the scene when multi-national EMEA corporations seek to close compliance or security gaps.

Certification and training to ISO standards demonstrates that your organisation works to international or national best practice, demonstrating your credibility and competence to stakeholders and customers. Certifications are legally obligated in some industries, while in other industries they are often included in tender requirements. At ABAC® we can provide you with training and certification for the following:

ISO 37001:2016 ANTI-BRIBERY MANAGEMENT SYSTEMS

Designed to help your organisation implement an anti-bribery management system (ABMS), and/or enhance the controls you currently have. ISO 37001 helps to reduce the risk of bribery occurring and can demonstrate to your stakeholders that you have put in place internationally recognised good-practice anti-bribery controls.

READ MORE

ISO 31000:2018 RISK MANAGEMENT SYSTEM

ISO 31000 is an international standard published in 2009, and updated in 2018, that provides principles and guidelines for effective risk management. It outlines a generic approach to risk management, which can be applied to different types of risks (financial, safety, project risks) and used by any type of organisation. It provides guidelines and principles that can help to undertake a critical review of your organisation's risk management process.

READ MORE

ISO 37301:2021 COMPLIANCE MANAGEMENT SYSTEM

ISO 37301 is a widely-accepted standard that provides guidance for establishing, developing, implementing, evaluating, maintaining and improving an organisation's compliance management program. It covers all compliance-related issues including anti-trust, fraud, misconduct, export control, anti-money laundering, and other unexpected risks which might affect your business.

READ MORE

ISO 37002 WHISTLEBLOWING MANAGEMENT SYSTEM

Under Development...

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ISO 37000 GUIDANCE FOR THE GOVERNANCE OF ORGANISATIONS

Under Development...

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Building TRUST. Ensuring COMPLIANCE™.

Since 1990, Corporate Research and Investigations Limited "CRI® Group" has safeguarded businesses from fraud and corruption, providing insurance fraud investigations, employee background screening, investigative due diligence, third-party risk management, compliance and other professional investigative research services.

In 2016, CRI® Group launched Anti-Bribery Anti-Corruption (ABAC®) Center of Excellence - an independent certification body established for ISO 37001:2016 Anti-Bribery Management Systems, ISO 19600:2014 Compliance Management Systems and ISO 31000:2018 Risk Management, providing certification.

ABAC® Center of Excellence provides world-class certification services to organisations seeking to validate or expand their existing compliance frameworks to maintain a competitive edge in the world marketplace. Our experts audit your existing compliance and anti-bribery anti-corruption management systems to assess effectiveness and vulnerabilities, while ensuring your organisation complies with Internal Standards, FCPA rules, UK Bribery Act laws, Anti-Money Laundering regulations, and all other global, regional and local regulations.

ABAC® educates, equips and supports the world's leading business organisations with the latest best-in-practice risk assessments, performance assessments, systems improvement and standards certification.

ABAC® offers a complete suite of solutions designed to help organisations mitigate the internal and external risks associated with operating in multi-jurisdiction and multi-cultural environments while assisting in the development of frameworks for strategic compliance programs.

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Ask us about compliance in depth:
abacgroup.com
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**Building TRUST.
Ensuring COMPLIANCE.™**

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